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AFFIRMATIVE ACTION PLAN

for

EQUAL OPPORTUNITY,



1997-98

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Affirmative Action Plan for Equal Opportunity, Duke University.

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From: Inderdeep Chatrath on 5/11/2001 10:26AM
To: Thomas Harkins/Archives/Admin/Univ/Duke@mc
cc:
Subject: Re: AAP - Confidentiality

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From: Thomas Harkins on 04/11/2001 01:32 PM
To: Inderdeep Chatrath/Allen/Admin/Univ/Duke@mc
cc:
Subject: AAP - Confidentiality

Inderdeep:

Thanks for the copies of the AAP for 2001. We wondered if the "Confidentiality Notice to the OFCCP" means that access to the plan should be regulated and if so, under what conditions may it be used. Can it be photocopied (in whole or in part) by our users?

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**Duke University Affirmative Action Plan
For Women and Minorities
1997 - 1998**

OVERVIEW AND SUMMARY

This is the twenty-eighth update of Duke's Affirmative Action Plan. The Plan is prepared in accordance with the requirements of Executive Order 11246, as amended and supplemented in federal law, and consistent with the purposes and objectives of the institution. Although the Plan is a compliance document fulfilling part of the responsibilities of Duke University as a federal contractor, the University, in the words of a 1970 Trustees' resolution, adheres to a policy of equal opportunity, "not solely because of legal requirements, but because it is a basic element for human dignity."

Overview

In addition to the description and implementation of the equal employment opportunity policy matters, an affirmative action plan must include a number of elements that require annual updates. Chief among these elements is a tabulation of the workforce by race and sex within job group categories (type of work) and organizational units. Next is the utilization analysis, in which the current workforce is compared to availability data to determine whether women or minorities are underutilized within job group categories. Availability is calculated by considering how certain factors impact the demographics of a pool of applicants for a given job. Based on the results of the utilization analysis, any areas of under-representation must be identified and explained. Given under-utilization of minorities and women, a set of employment goals and timetables must be constructed to help establish adequate representation across job groups. The annual updates for workforce analysis, utilization analysis, and areas of under-representation are included in Sections I, II, and III of this report.

Supporting these main sections are a number of additional sections: discussion of problem areas and corrective action; a description of the University's monitoring and reporting systems; community action programs; and the sex discrimination guidelines and sexual harassment policy. In addition, the Plan includes four appendices: employment goal comparisons for years following 1997 and 1998, a description of job groups, the Duke University Medical Center diversity policy, and the minority and women business enterprise program.

Changes and Enhancements

The 1997-98 Plan update consists of several changes and enhancements since the last Plan. These changes include the following:

- *Timing*
The timing for the release of AAP update has been slightly modified in an attempt to correspond to the University budget cycle process and to provide managers with an opportunity to consider AAP goals in hiring decisions.

- *Clarity*
The table format has been changed in the interest of clarity and ease in interpretation, and we have added footnotes that describe the columns.
- *Methodology*
The eight-factor analysis used to calculate availability now reflects the contribution of in-house training to an internal pool of applicants. This AAP also incorporates a revised weighting system reflecting how the eight factors differentially contribute to availability for selected job groups.
- *Analysis*
Statistical significance tests were introduced to determine under-utilization and to identify those positions that are under pre-hire review.
- *Organizational Structure*
The description of the organizational structure of the Medical Center and Hospital was revised to reflect the new organization of the Duke University Health System.
- *Professional Schools*
The professional schools, which had previously been grouped under one category, were separated-out to accommodate variations in labor market availability, workforce distributions and hiring patterns.

Of necessity, these changes have imposed certain limitations upon our ability to make direct comparisons with data from previous years. In some cases, the revised factor weights in the eight-factor analysis have altered availability figures for job groups, which are ultimately reflected in the calculation of the employment goals. Therefore, we recommend using caution in interpreting trends in employment figures and other data over the last few years.

Workforce Analysis

The workforce analysis is broken down into three broad job classifications: faculty, professional and administrative staffs, and support staff.

Faculty:

The analysis for faculty indicates that the percentage of faculty from all minority groups in both the campus and medical center is approximately 10 percent in most disciplines. Women represent a larger portion of the total faculty population overall. In the humanities and clinical sciences, for example, females represent 41 percent and 26 percent of the faculty in the discipline, respectively. In some areas, however, female representation is lower, as in the natural sciences, where women represent 20 percent of the total faculty population. Overall, the representation of women faculty has increased since last year, but there have not been any significant gains among minority faculty.

Professional and administrative:

In the professional and administrative job groups, minorities comprise a small percent of the workforce in particular job groups. For example, in job group 11, *Officials & Managers*, minorities represent 9 percent of the total in this job group. In job group 31, *Non-faculty Professional and Administrative*, minorities comprise 7.6 percent, a slight decline since last year.

Support staff:

The analysis of the support staff data shows that women and minorities heavily populate many of these job groups. For example, in job groups 71-75, *Service*, minorities make up approximately 86 percent of the workforce (African-Americans comprise 84.5 percent of the total). In job groups 41-44, *Clerical*, women comprise over eighty-eight percent of the total workforce. In other areas, minorities make up a smaller proportion of the total workforce. For example, in job groups 61-65, *Skilled Crafts*, minorities comprise less than 10 percent of the workforce and there is only one female employee in that occupational category.

Utilization Analysis

Under-utilization is defined by the regulations as a situation in which fewer women or minorities actually participate in a particular job group than would reasonably be expected given their availability. The difference between availability and actual participation must be statistically significant in order for the disparity to be considered under-utilization. We have used standard deviation tests to determine statistical significance in all job groups with 30 or more incumbents. We declare that there is under-utilization if the disparity is two standard deviations or greater.

Faculty:

The faculty analysis indicates under-utilization of women in social sciences, natural sciences, humanities and the medical basic sciences as are minorities in natural sciences, basic and clinical sciences. Minorities are also under-utilized in mechanical engineering, and the schools of the environment and business. Several factors contribute to the apparent under-utilization of both minorities and women in these areas. Among the most significant factors are: expansion of the "regular rank" category of faculty in the 1991-92 academic year; limited hiring opportunities; the increasing gap between women and minority availability and university hiring; and that availability figures reflect more junior availability in disciplines where Duke is heavily "tenured-in." Attempts to correct this situation include special efforts by schools and departments throughout the University targeted at recruiting minority and female candidates.

Professional and administrative staff:

Women and minorities are under-utilized as professional and administrative staff in job group 11, *Officials and Managers*, while minorities are under-utilized in job groups 31 and 32, *Non-faculty Professionals*. African-Americans are the most under-utilized minority in these job groups. The under-utilization of women and minorities has not improved significantly despite the improvement in labor market availability. This phenomenon stems primarily from the fact that university hiring has lagged behind availability and because hiring opportunities have been limited. In addition, this under-utilization may be less problematic than it appears, since the large difference figure arises in part because of the large overall size of these job groups.¹ Under-utilization in these

¹ The difference figure is calculated by multiplying the total current number of employees in a job group by the difference between the available percentage (of minorities or women) in the job group and the current percentage of the workforce, which they comprise.

categories is being addressed by a joint initiative, begun in 1988 by Human Resources, that allows aggressive recruitment initiatives to identify qualified women and minorities. The Office for Institutional Equity also provides for closer monitoring of openings and in these job groups, including recruitment efforts and data analysis to identify problem areas.

Nonexempt support staff:

The utilization analysis for nonexempt support staff indicates that women are under-represented in job groups 62, 63, 64, *Skilled Crafts*; and job group 72 *Service* (job levels 2 – 6) while, minorities are under-represented in job groups 53, *Technical/Paraprofessional*; and 62-65, *Skilled Crafts*.

We continue to experience an under-utilization of minorities (and to some extent women) in the skilled craft job groups, 62-65. These job groups have contributed to a chronic under-utilization of women and minorities for the past several years. There have been very few hiring opportunities in the last two years, and the problem is exacerbated by the fact that availability in these areas has increased, leaving us still further behind. Women continue to be under-utilized in Job Group 72, *Service*. The positions in this job group fall under the bargaining unit contract and include the male-dominated job classifications of floor finisher and utility worker. The size of the workforce in this job group has not increased over the years, and coupled with low turnover among employees, has resulted in few hiring opportunities.

The approach to correcting the problem in the support staff area includes analyzing each job group to determine which job classifications are subject to review prior to the making of a job offer. The pre-hire review process is described in detail in Section V, Monitoring and Reporting Systems. In addition, the Department of Facilities Management established a job mentoring program in 1997 to begin to remedy this situation for *Skilled Crafts* positions. This program is designed to begin to equip employees with the skills necessary for positions in the skilled crafts sector. Similarly, a system of priority hiring has been launched to help address this problem.

Employment Goals

The final step in the preparation of the annual update of the Affirmative Action Plan is calculation of target numbers toward which the University will work in the next few years. Employment goals are developed for all job groups where there is a disparity between labor market availability and Duke's representation. These goals are set by examining labor market availability and hiring opportunities. Table 3, "Employment Goals by Job Group," shows employment goals for faculty and non-faculty employees.

The document proposes a model that engages representatives from hiring units, the Employment Office, and the Office for Institutional Equity to develop a structure that supports accountability and a collaborative effort to achieve employment goals set forth in the Plan.

Inderdeep Chatrath, Ph.D.
March 1, 1999

AFFIRMATIVE ACTION PLAN

for

WOMEN AND MINORITIES

1997 – 1998



DUKE UNIVERSITY

Plan Completed: December 1998

Confidentiality Notice to the Office of Federal Contract Compliance Program (OFCCP)

This Affirmative Action Program contains substantial confidential information, which is subject to the provisions of 18 USC Section 1905. *Chrysler Corp. v. Brown*, 441 U.S. 281 (1979).

This Affirmative Action Program is the property of Duke University and it is loaned to the Office of Federal Contract Compliance Programs, along with certain other materials requested by the OFCCP, on the condition that the government hold them totally confidential and not release copies to any person.

Pursuant to 5 U.S.C. Sec. 552 Duke University asserts that at least certain sections, exhibits, and compliance investigation files are exempt from the Freedom of Information Act (FOIA) disclosure provisions. Notice is hereby given of a request pursuant to the regulations of the OFCCP that this AAP be kept confidential.

Duke University does not consent to the release of any information whatsoever contained in this Affirmative Action Program under the Freedom of Information Act. If the OFCCP or any other Federal agency is considering a request to release any portion of this AAP under the Freedom of Information Act, Duke University asks that the government immediately notify the *Office of the University Counsel* of any and all Freedom of Information Act requests received by the government or any other contemplated release of this AAP or any other information obtained by the government from Duke University.

NOTE: The term "Affirmative Action Program" or "AAP" includes its supporting appendixes, exhibits, documents, data, and all materials provided by Duke University to the OFCCP or other governmental agency.

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January, 1999

To Deans, Department Heads, and Directors

Dear Colleagues:

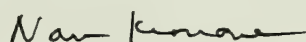
I hope that you are enjoying these first weeks of 1999. The turn of the year is always a good occasion to reflect on the promise and potential of the months ahead, and therefore an opportune time for us to reaffirm one of Duke's most important institutional commitments: our guarantee of fair employment in all parts of this university.

The Affirmative Action Plan for Equal Opportunity, which I present to you herewith, attests to our resolve to provide an equitable workplace for all employees. The Plan accords with our obligations as a recipient of federal grants and contracts. But this document should not be seen merely as a means to achieve strict compliance with federal regulations. Equity is an ongoing process, a fundamental principle that transcends legal obligations, and with this latest iteration of our Affirmative Action Plan we must commit ourselves to strive to bring even greater equality of opportunity to the workplace at Duke. Although the Affirmative Action Plan for Equal Opportunity was first adopted in 1970, much still remains to be done.

I commend this Plan to you as a guide to thinking and planning on policy and procedures, and as a source of information and encouragement about equal opportunity. In order to realize equal opportunity more fully here at Duke, deep individual and institutional commitment is required. Each of us, and our colleagues across this institution, must take responsibility for action.

I pledge my own continuing commitment to this cause. I hope that I can count on your support for our policy of equal opportunity, and I wish you well in your efforts to help Duke reach its goals.

Yours sincerely,



Nannerl O. Keohane

Introduction

In March 1970 Duke University adopted its first Affirmative Action Plan for Equal Opportunity. President Sanford introduced the Plan to the University by saying in his speech:

I feel that this Plan is something far beyond a necessary compliance with governmental policy. Members of our community, I believe, will agree with me that it is rooted more deeply in moral consciousness and sound principles of good human relationships. Our achievements under this Plan will depend on the degree to which each of us assumes real responsibility for assuring its success. Our desire is that we follow the spirit as well as the letter of the Plan in an atmosphere of sincere good will.

In the early years of the Plan, the University workforce showed under-representation of women and minorities in virtually all faculty and staff categories, and minorities were underrepresented in all support staff categories except service workers. In those first years, facing a critical need for change, the equal opportunity program was shaped and advanced by hundreds of people at Duke. The entire Duke community must continue to work together to make equal opportunity work. In spite of extensive changes, more effort is needed to complete the journey to a diverse university community. For instance, although representation of women and minorities has improved significantly, their distribution throughout the institution remains a concern. In addition, our set of obligations has been extended to include matters of age, disability, and sexual orientation.

As we approach the end of the twentieth century, a more distinct perspective emerges on the needs of the University in relation to the implementation of human relations policy and affirmative action programs. As President Keohane noted in her remarks to the symposium titled What Difference Does Difference Make, *"As the current backlash against affirmative action and minority recruitment in several parts of our country makes crystal clear, we have taken too much for granted. As a result, we have not yet made a compelling argument, both to skeptical folks on campus and to many in the world outside -- to learning -- of multiple perspectives, different ideas and values on a university campus"*.

Duke University remains committed to the principles of fairness and equity that illuminated our first Affirmative Action Plan in 1970 and the processes that we have inculcated over the years to ensure an inclusive community will continue to anchor and guide us in the future.

With this update of our Affirmative Action Plan, in the twenty-ninth year after its inception, we bring to the members of the University community a sense of continuity and stability in the midst of change. The Plan is prepared in accordance with the requirements of Executive Order 11246, as amended and supplemented in federal law, and consistent with the purposes and objectives of the institution. Although the Plan is a compliance document fulfilling part of the responsibilities of Duke University as a federal contractor, the University, in the words of a 1970 Trustees' resolution, adheres to a policy of equal opportunity "not solely because of legal requirement, but because it is a basic element for human dignity."

Equal Opportunity Policy Statement

The University shall offer equal opportunity to its employees and applicants for employment without regard to race, color, religion, national origin, handicap or veteran status, sexual orientation or preference, sex or age. This policy shall be followed in recruiting, hiring, appointment and promotion into all academic or nonacademic positions. The University will insure that other personnel actions such as compensation, benefits, transfers, layoffs, return from layoffs, demotions and terminations, University-sponsored training programs, education, tuition assistance, social and recreational programs, and use of University facilities, will be administered without discrimination on the above bases.

Dissemination of the Equal Opportunity Policy

The equal opportunity policy statement will be distributed to all members of the University community. Copies will also be provided to new employees at orientation sessions, and to union officials representing University employees, and will be posted on bulletin boards throughout the University. The statement will also be published in the Duke University Policy Manual, the Faculty Handbook, the Employee Handbook, the Staff Benefits and Policy Handbook, and the Duke Hospital Policy and Procedure Manual.

The policy will be discussed in management training programs and will be described in various literature distributed by the University. Nondiscrimination clauses shall be included in all union agreements, and all such contractual provisions shall be reviewed to insure that they are nondiscriminatory.

Publications of the University shall picture both minority and non-minority men and women and shall include photographs of handicapped persons. All recruiting advertisements shall state that the University is an Equal Opportunity/Affirmative Action Employer.

Purchase orders, leases, contracts, etc. shall incorporate an equal opportunity clause, as required.

Description of the Affirmative Action Plan

In addition to the policy matters noted above, an affirmative action plan must include a number of elements that require annual updates. Chief among these is a tabulation of the workforce by race and sex within job group categories (type of work) and organizational units. Next is the *utilization analysis*, in which the current workforce is compared to availability data to determine whether women or minorities are underutilized within job group categories. Availability is calculated by considering how eight separate factors impact the demographics of a pool of applicants for a given job. Based on the results of the utilization analysis, any areas of under-representation must be identified and explained. Given under-utilization of minorities and women, a set of employment goals and timetables must be constructed to help establish adequate representation across job groups. The annual updates for workforce analysis, utilization analysis, and areas of under-representation are included in Sections I, II, and III of this report.

Supporting these main sections are a number of additional sections: identification of problem areas and corrective action; a description of the University's monitoring and reporting systems; community action programs; and sex discrimination guidelines and sexual harassment policy. In addition there are four appendices: employment goal comparisons for years following 1997 and 1998, a description of job groups, the Duke University medical center diversity policy and minority and women business enterprise program.

Changes and Enhancements since the last Plan:

- Timing - the timing for the release of AAP update has been slightly modified in an attempt to correspond to the University budget cycle process and to provide managers with an opportunity to consider AAP goals in hiring decisions. This document is a 1997-1998 update to the AAP that reflects a snapshot of the workforce as of October 1998. The goals presented are those for hiring in 1999, to be considered in the budget review by unit managers in spring of 1999. It is expected that the progress toward these goals will be evaluated at the end of the current budget year.
- Clarity – table format has been improved for clarity and ease in interpretation, with footnotes that describe columns. Table notes further elaborate calculations of figures presented.
- Methodology – the eight-factor analysis used to calculate availability now reflects the contribution of in-house training to an internal pool of applicants. In prior AAP updates, the figure used for in-house training factor simply mirrored those used for promotions. This AAP also incorporates a revised weighting system reflecting how the eight factors differentially contribute to availability for selected job groups.
- Analysis - statistical significance tests were introduced to determine under-utilization and to identify positions under pre-hire review. These methods are described in detail in Section II: Utilization Analysis.

- Availability - the source for professional librarian availability has been changed from Census data to information provided by the Association of Research Librarians to reflect a more relevant pool for university librarians.
- Organizational Structure - the organizational structure of the Medical Center and Hospital was revised to reflect the new organization of the Duke University Health System. Workforce figures for the Campus units were also revised to reflect the next level of hierarchical structure. These changes were made to provide unit managers with information more directly linked to their areas of responsibility.
- Professional Schools - the professional schools, which had previously been grouped under one category (aggregating figures for engineers and nurses), were separated out to accommodate variations in labor market availability, workforce distributions and hiring patterns.

Necessarily these changes have imposed certain limitations upon our ability to make direct comparisons with data from previous years. More specific limitations are described below:

- By introducing changes in organizational structure and availability calculations, we have lost, to some extent, the ability to conduct direct comparison with affirmative action plans from prior years. This is particularly the case for professional schools, which previously were aggregated under one category.
- Changes in the organizational structure in the Health System and reorganization of campus units make it difficult to compare workforce figures with previous years, especially in the Medical Center and the Hospital. We suggest caution in comparing workforce figures with previous years.
- In some cases, the revised factor weights in the eight-factor analysis have altered availability figures for job groups, which are ultimately reflected in calculation of employment goals. Therefore, we recommend using caution in interpreting trends in employment goal figures over the last few years.

Administration of the Affirmative Action Plan

The Office of the Vice President for Institutional Equity is responsible for developing the University Affirmative Action Plan in collaboration with the departments and for providing assistance in compliance with the requirements of the Plan.

In recognition of the management responsibility detailed in the policy statements above, the University has provided a copy of the Plan to each organizational unit of the University. The Plan is also available to staff and students upon request.

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Section I

Workforce Analysis

The workforce analysis used for the Affirmative Action Plan is produced annually from the payroll data available as of October 1st of each year. These data provide workforce distributions for the Campus, Medical Center and the Health System (both full and part-time employees) in two main categories: (1) Job Groups and (2) Organizational Units.

Table 1A, “Summary of Workforce by Job Group” provides information about faculty and staff by job groups. Job Groups are groupings of jobs having similar content, wage rates and opportunities. In addition to the total number of incumbents, Table 1A lists the number of female and minority employees in each category.

For faculty, only “regular rank” faculty, a category which includes tenure track and non-tenure track (those who meet criteria for voting privileges), are included in these analyses. There are approximately 2,000 non-regular rank faculty who are not included in these analyses. Non-regular rank faculty includes adjunct, research, and short-term and courtesy appointments. Faculty information is presented in fourteen categories for non-medical faculty and five categories for Medical Center faculty.

Staff are divided into two categories: professional/administrative and support staff. There are eight job groups in the professional/administrative category and nineteen job groups in the support staff category. The definition of the various job groups is provided in Appendix B.

The distribution of faculty by organizational units is presented in Table 1B, “Summary of Faculty by Organizational Units.” Faculty distribution by number of females and minority groups is provided by academic disciplines in nine categories: Social Sciences, Humanities, Natural Sciences, five Professional Schools, School of Nursing, Basic Sciences, Clinical Sciences; and two programs: Arts and Sciences and Medical Center programs.

Distribution of staff by organizational units is presented in Table 1C, “Summary of Staff by Organizational Unit.” Staff information is provided in three sections representing Campus, Medical Center and the Health System.

Finally, the data for the entire workforce are summarized in Table 1D, “Summary of Campus, Medical Center and Health System Workforce.” Tables 1A – 1D are presented in the pages following this section.

All supporting data and worksheets for the workforce analyses are available for examination by any member of the University community.

Table 1A
Summary of Workforce by Job Group
Faculty and Staff - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Regular Rank Faculty*							
Campus							
Administration	9	1	1	1	0	0	0
Social Sciences	176	51	21	10	0	11	0
Humanities	172	70	29	13	5	11	0
Arts & Science Programs	30	13	3	2	0	1	0
Natural Sciences	199	39	17	1	1	15	0
Divinity School	28	7	2	2	0	0	0
Biomedical Engineering	26	3	3	0	1	2	0
Civil Engineering	16	1	2	1	1	0	0
Electrical Engineering	23	2	5	1	0	4	0
Mechanical Engineering	29	2	5	0	0	5	0
School of the Environment	27	8	3	0	1	2	0
Marine Lab	12	3	0	0	0	0	0
Fuqua School of Business	91	20	8	2	0	6	0
Law School	35	8	4	3	0	1	0
Medical Center							
Administration	3	1	0	0	0	0	0
Basic Sciences	131	31	21	0	7	14	0
Clinical Sciences	1,041	249	95	21	11	60	1
School of Nursing	24	22	1	1	0	0	0
Programs	18	10	0	0	0	0	0
Regular Rank Faculty Subtotal:	2,090	541	220	58	27	132	1
Non-Faculty Professional (NFP) and Administrative Staff by Job Group							
11 Officials & Managers	611	292	53	46	2	4	1
31 NFP I, job level 14 & above	353	204	27	19	1	5	2
32 NFP II, job level 11	640	446	68	59	2	7	0
33 NFP III, job level 12	822	550	125	102	5	18	0
34 NFP IV, job level 13	631	462	89	57	7	22	3
35 NFP V, job level 10 & below	631	460	115	100	4	10	1
36 NFP VI, Research Associates	896	360	249	33	14	201	1
37 NFP VII, Professional Librarians	102	70	10	7	1	2	0
Non-Faculty Professional & Administrative Staff Subtotal:	4,686	2,844	736	423	36	269	8

*Includes tenure and non-tenure track with voting privileges.

Table 1A
Summary of Workforce by Job Group
Faculty and Staff - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Support Staff							
38 Staff Nurse, job level 10	1,731	1,554	311	238	5	64	4
39 Registered Nurse, job level 11	97	92	15	13	0	2	0
Clerical							
41 Job level 0 & 1-4	487	342	268	258	0	9	1
42 Job level 5	701	621	432	424	2	5	1
43 Job level 6	1,193	1,095	395	376	9	6	4
44 Job level 7 & above	1,140	1,053	330	321	5	4	0
Technical/Paraprofessional							
51 Job level 0 & 2-6	915	676	508	470	8	28	2
52 Job level 7	987	772	333	295	11	24	3
53 Job level 8 & above	1,625	1,073	369	293	17	54	5
Skilled Crafts							
61 Bargaining Unit, Job level 1-6	22	0	9	7	2	0	0
62 Bargaining Unit, Job level 7-10	103	1	13	13	0	0	0
63 Non-Union, Job level 0 & 1-7	60	0	3	3	0	0	0
64 Non-Union, Job level 8 & 9	96	0	7	7	0	0	0
65 Non-Union, Job level 10 & above	82	0	4	4	0	0	0
Service							
71 Bargaining Unit, Job level 1	505	350	474	471	1	2	0
72 Bargaining Unit, Job level 2-6	447	174	416	409	6	1	0
73 Non-Union, Job level 2	111	63	99	98	0	1	0
74 Non-Union, Job level 3 & 4	423	228	331	324	2	4	1
75 Non-Union, Job level 0 & 5-13	387	170	290	285	1	3	1
Support Staff Subtotal:	11,112	8,264	4,607	4,309	69	207	22
Non-faculty Subtotal:	15,798	11,108	5,343	4,732	105	476	30
Faculty and Non-faculty Total:	17,888	11,649	5,563	4,790	132	608	31

Table 1B
Summary of Faculty by Organizational Unit - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Campus Faculty							
Administration	9	1	1	1	0	0	0
Social Sciences							
Canadian Studies	1	1	0	0	0	0	0
Cultural Anthropology	13	7	3	2	0	1	0
Economics	27	2	3	0	0	3	0
Education	4	1	0	0	0	0	0
Health, Phys Edu. & Rec.	7	1	0	0	0	0	0
History	36	12	3	3	0	0	0
Political Science	30	5	3	1	0	2	0
Psychology (Social & Health Sciences)	14	9	3	2	0	1	0
Public Policy	26	5	2	1	0	1	0
Sociology	18	8	4	1	0	3	0
Social Sciences Subtotal:	176	51	21	10	0	11	0
Humanities							
Art & Art History	11	6	2	1	0	1	0
Asian & African Languages	11	8	9	1	0	8	0
Classical Studies	11	2	1	1	0	0	0
Comparative Area Studies	1	0	0	0	0	0	0
English	38	15	4	4	0	0	0
Germanic Languages	9	6	0	0	0	0	0
Music	20	5	3	1	1	1	0
Philosophy	13	1	2	0	1	1	0
Program in Film & Video	0	0	0	0	0	0	0
Program in Literature	11	6	2	2	0	0	0
Religion	17	4	2	2	0	0	0
Romance Studies	24	12	4	1	3	0	0
Slavic Language & Literature	6	5	0	0	0	0	0
Humanities Subtotal:	172	70	29	13	5	11	0

Table 1B
Summary of Faculty by Organizational Unit - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Arts & Sciences Programs							
Drama	8	3	2	1	0	1	0
Dance	5	4	1	1	0	0	0
University Writing Program	2	1	0	0	0	0	0
Biology Majors Program	1	0	0	0	0	0	0
Talent Identification Program	0	0	0	0	0	0	0
Center for International Studies	0	0	0	0	0	0	0
Center for Demographic Studies	5	2	0	0	0	0	0
Summer School	5	1	0	0	0	0	0
Organization for Tropical studies	0	0	0	0	0	0	0
African/African-American Studies	1	0	0	0	0	0	0
Summer Abroad Program	2	1	0	0	0	0	0
Kenan Ethics Program	1	1	0	0	0	0	0
A & S Programs Subtotal:	30	13	3	2	0	1	0
Natural Sciences							
Bio-Anthro/Anatomy	10	5	0	0	0	0	0
Botany	21	6	3	0	0	3	0
Chemistry	21	3	2	0	0	2	0
Computer Science	18	3	2	0	0	2	0
Geology	11	1	0	0	0	0	0
Mathematics	35	4	1	0	0	1	0
Physics	29	2	5	1	0	4	0
Psychology (Experimental)	17	5	2	0	1	1	0
Statistics & Decision Sciences	14	5	1	0	0	1	0
Zoology	23	5	1	0	0	1	0
Natural Sciences Subtotal:	199	39	17	1	1	15	0
Professional Schools							
Divinity	28	7	2	2	0	0	0
Biomedical Engineering	26	3	3	0	1	2	0
Civil Engineering	16	1	2	1	1	0	0
Electrical Engineering	23	2	5	1	0	4	0
Mechanical Engineering	29	2	5	0	0	5	0
School of the Environment	27	8	3	0	1	2	0
Marine Lab	12	3	0	0	0	0	0
Fuqua School of Business	91	20	8	2	0	6	0
Law School	35	8	4	3	0	1	0
Professional Schools Subtotal:	287	54	32	9	3	20	0

Table 1B
Summary of Faculty by Organizational Unit - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Medical Center Faculty							
Administration	3	1	0	0	0	0	0
School of Nursing	24	22	1	1	0	0	0
Basic Sciences							
Biological Anthro/Anatomy	5	1	0	0	0	0	0
Biochemistry	19	6	2	0	0	2	0
Cell Biology	29	5	5	0	2	3	0
Genetics	7	1	1	0	1	0	0
Immunology	11	4	1	0	0	1	0
Microbiology	13	3	1	0	0	1	0
Neurobiology	17	4	3	0	1	2	0
Cancer Biology	30	7	8	0	3	5	0
Basic Sciences Subtotal:	131	31	21	0	7	14	0
Clinical Sciences							
Anesthesiology	74	19	8	0	0	6	0
Obstetrics/Gynecology	51	7	4	1	1	2	0
Ophthalmology	27	7	4	1	1	2	0
Surgery	147	11	12	4	0	8	0
Community & Family Medicine	63	25	3	2	0	1	0
Medicine	311	73	24	5	2	17	0
Pathology	60	15	8	2	2	4	0
Pediatrics	85	29	8	2	1	4	1
Psychiatry	129	43	15	4	2	9	0
Radiology	73	15	6	0	2	4	0
Radiation Oncology	21	5	3	0	0	3	0
Clinical Sciences Subtotal:	1,041	249	95	21	11	60	1
MC Programs (DUHS)							
Physical Therapy	9	6	0	0	0	0	0
Lab Animal Resources	1	0	0	0	0	0	0
Central Pharmaceutical	1	1	0	0	0	0	0
Pastoral Service	1	0	0	0	0	0	0
Medical Social Services	2	1	0	0	0	0	0
DU Affiliated Physicians	4	2	0	0	0	0	0
MC Programs (DUHS) Subtotal:	18	10	0	0	0	0	0

Table 1C
Summary of Staff by Organizational Unit - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Section 1:							
Campus							
University Administration							
Office of the President	39	22	2	2	0	0	0
Athletics	135	44	11	10	0	1	0
Alumni Affairs & Development	112	88	9	9	0	0	0
Capital Campaign	9	8	0	0	0	0	0
Public Affairs	30	13	8	7	0	1	0
Duke Management Company	23	14	5	5	0	0	0
Institutional Equity	7	6	5	4	0	1	0
University Secretary	4	4	0	0	0	0	0
University Counsel	13	8	2	2	0	0	0
Research Administration	12	11	2	2	0	0	0
University Administration Subtotal:	384	218	44	41	0	3	0
Provost Academic Support							
Provost's Staff	23	18	2	2	0	0	0
A & S Staff & Deans	47	35	7	7	0	0	0
Student Services	65	53	20	18	1	1	0
Library Affairs	226	155	46	32	2	12	0
Student Affairs	103	72	29	26	0	3	0
Campus Agencies	41	23	8	5	3	0	0
Duke University Press	75	53	10	9	0	1	0
Museum of Art	11	5	3	3	0	0	0
Arts & Sciences Programs							
A & S Programs	194	133	51	46	3	2	0
Talent Identification Program	29	24	10	9	0	0	1
African/African-American Studies	5	5	4	4	0	0	0
Interdisciplinary Programs	31	17	7	3	0	4	0
Kenan Ethics Program	2	2	0	0	0	0	0
International Activities	17	14	4	1	1	2	0
Provost Academic Support Subtotal:	869	609	201	165	10	25	1
A & S Departments							
A & S Departments	411	248	76	41	3	32	0
Graduate School	28	27	1	1	0	0	0

Table 1C
Summary of Staff by Organizational Unit - 1998

	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
<i>Professional Schools</i>							
School of Engineering	65	30	9	2	0	7	0
NSOE/ Marine Lab	64	30	11	10	0	1	0
NSOE/ Durham	65	35	1	1	0	0	0
Fuqua School of Business	147	112	27	25	1	1	0
Divinity School	143	70	21	20	1	0	0
Law School	80	67	15	13	0	1	1
Professional Schools							
Subtotal:	564	344	84	71	2	10	1
Executive Vice President							
Staff	27	22	9	9	0	0	0
Internal Audit	8	2	1	1	0	0	0
Facilities Planning	227	21	74	71	2	0	1
Procurement Services	51	31	15	15	0	0	0
Duke University Police	142	32	52	50	1	0	1
University Architect	21	7	1	1	0	0	0
Corporate Controller	122	92	35	31	1	2	1
Treasurer/Financial Planning	38	31	11	10	1	0	0
Auxiliary Services	815	393	546	532	9	4	1
Human Resources	115	93	32	31	0	1	0
Information Technology	198	90	46	39	1	5	1
Executive Vice President							
Subtotal:	1,764	814	822	790	15	12	5
Section 1 Subtotal:	4,020	2,260	1,228	1,109	30	82	7

Table 1C
Summary of Staff by Organizational Unit -1998

Section 2:	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Medical Center Administration							
Chancellor's Staff	68	46	7	5	0	2	0
Business, Development & Marketing	62	44	11	10	0	1	0
Academic Affairs	31	23	7	6	0	1	0
Lab Animal Resources	34	10	14	14	0	0	0
Administration & CFO	3	1	0	0	0	0	0
Engineering & Operations	206	20	14	14	0	0	0
Transportation & Parking	52	10	22	21	1	0	0
Occupational & Environmental Safety	46	13	10	9	0	1	0
Design & Construction	22	13	2	2	0	0	0
Development & Alumni Affairs	38	30	6	4	1	1	0
Office of Science & Technology	12	9	1	1	0	0	0
Medical Center							
School of Nursing	16	12	3	2	1	0	0
Dean, Medical Education	123	78	31	27	0	4	0
Comprehensive Cancer Center	195	154	48	40	1	7	0
Center for Study of Aging	27	20	2	2	0	0	0
Clinical Research Inst (DCRI)	441	343	79	69	3	6	1
Basic Science Departments							
Biochemistry	71	40	23	13	2	8	0
Biological Anthropology & Anatomy	12	7	0	0	0	0	0
Cell Biology	87	48	31	10	2	19	0
Microbiology	42	32	17	10	0	7	0
Immunology	28	19	12	4	1	6	1
Neurobiology	57	35	10	2	0	8	0
Pharmacology & Cancer Biology	89	51	25	6	1	18	0
Genetics	33	21	11	2	2	7	0
Clinical Science Departments							
Anesthesiology	94	60	26	17	0	9	0
Obstetrics/ Gynecology	66	47	9	5	0	3	1
Ophthalmology	82	59	19	13	0	6	0
Surgery	402	311	79	52	3	22	2
Community & Family Medicine	156	136	33	31	1	1	0
General Medicine	889	686	193	115	6	69	3
Pathology	141	106	43	30	4	9	0
Pediatrics	209	166	47	34	0	12	1
Psychiatry	273	200	51	40	2	9	0
Radiology	79	42	24	11	1	12	0
Radiation Oncology	38	25	12	3	1	8	0
Section 2 Subtotal:	4,224	2,917	922	624	33	256	9

Table 1C
Summary of Staff by Organizational Unit - 1998

Section 3:	Total Workforce	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Health System							
Chief Executive Officer	88	73	15	14	0	1	0
Chief Financial Officer	206	170	54	51	1	2	0
Chief Information Officer	105	45	30	26	1	3	0
Chief Operating Officer	27	18	8	7	1	0	0
Diagnostic, Therapeutic & ASC							
Staff	4	3	1	1	0	0	0
<i>Diagnostic & Treatment Services</i>							
Organ Procurement/ Support	34	31	21	21	0	0	0
Radiological Services	467	320	186	178	3	5	0
Transplant Coordinator	5	5	0	0	0	0	0
Wound Management	1	1	0	0	0	0	0
<i>Preoperative Services</i>							
Operating Rooms	229	187	84	75	1	8	0
Recovery Room	39	34	12	8	0	4	0
Anesthesia Services	88	63	15	12	0	3	0
Eye Center	139	121	46	42	0	4	0
University Lithotripsy	4	2	1	1	0	0	0
Perfusion Services	13	4	2	2	0	0	0
<i>Neuro-Muscular-Skeletal Services</i>							
Physical & Occupational Therapy	115	95	16	14	0	2	0
Oncology Services	117	109	33	29	0	4	0
Emergency Patient & Visitor Management							
Emergency Patient & Visitor Management	187	156	92	82	0	10	0
Emergency Services	194	142	41	39	0	1	1
Care Coordination Services	4	3	2	2	0	0	0
Pharmacy	258	164	88	75	3	7	3
Nursing Services							
Nursing Services	368	324	183	178	0	4	1
<i>Children's</i>							
Pediatric Wards & Units	356	338	85	72	1	10	2
Lenox Baker	6	4	5	5	0	0	0
Pediatric Social Service	18	16	8	8	0	0	0
<i>Women's Services</i>							
Staff	11	7	2	1	0	1	0
Ob-Gyn Wards & Units	119	115	49	41	2	6	0
Ob-Gyn Clinic	1	1	0	0	0	0	0
<i>Medical/Surgical and Critical Care Services</i>							
Medical Wards & Units	435	393	195	182	1	11	1
Surgical Wards & Units	477	405	191	171	2	18	0
General Medical Clinic	41	38	23	22	0	1	0
Surgical Clinics	31	30	15	15	0	0	0
Respiratory Therapy	141	70	21	20	0	1	0
<i>Support Services</i>							
Dietary	287	227	255	252	1	1	1
Environmental Services	480	269	443	439	2	2	0
General Support & Information Services	31	20	11	10	1	0	0

Table 1C
Summary of Staff by Organizational Unit - 1998

Section 3:	Total Workforce	Female	Minorities				American
			Total	Black	Hispanic	Asian	Indian
Pharmacy, Product Management Partnerships & Labs							
Clinical Engineering -- Laundry	56	35	56	56	0	0	0
Materials Management	149	64	97	94	1	2	0
Hospital Lab Services	520	405	198	174	8	16	0
Cardiac Services	161	121	50	42	3	3	2
Psychiatric Wards & Units	74	61	35	34	0	1	0
Psychiatric Clinic	26	23	11	10	0	1	0
Employee & Customer Programs	111	68	84	84	0	0	0
DUHS Agencies							
Divers Alert Network	48	24	8	6	1	0	1
DU Affiliated Physicians	251	233	35	33	2	0	0
Outreach Activities	64	63	11	7	2	1	1
Private Diagnostic Clinics (PDC)							
Administration	39	29	6	5	1	0	0
Finance	20	16	4	4	0	0	0
Reimbursement	23	15	10	10	0	0	0
MIS	33	14	8	4	2	1	1
Charge Processing	50	48	24	23	1	0	0
Billing & Collections	178	153	72	71	0	1	0
Administration Total:	343	275	124	117	4	2	1
PDC Clinical							
Clinical/General ¹	64	59	23	23	0	0	0
Clinical/Surgical ¹	198	171	75	74	1	0	0
Clinical/Medical ¹	114	101	47	46	0	1	0
Clinical/Pediatrics ¹	37	36	13	12	0	1	0
Clinical/Psychiatry ¹	7	5	3	3	0	0	0
Clinical/ Multidisciplinary ¹	32	29	22	22	0	0	0
Clinical/ General ²	44	37	15	15	0	0	0
Clinical/ Medical ²	74	67	32	31	0	1	0
Clinical/ Family & Community Medicine ²	40	36	17	17	0	0	0
Clinical/ Multidisciplinary ²	14	14	4	4	0	0	0
Clinical Total:	624	555	251	247	1	3	0
Center for Living	1	1	0	0	0	0	0
Section 3 Subtotal:	7,554	5,931	3,193	2,999	42	138	14

Note: 1 & 2 represent different administrative units.

Table 1D
Summary of Campus, Medical Center and Health System Workforce - 1998

			Minorities						
			Total Workforce	Female	Total	Black	Hispanic	Asian	American Indian
Faculty									
Campus		873	228	103	36	9	58	0	
Medical Center		1,217	313	117	22	18	74	1	
	Total:	2,090	541	220	58	27	132	1	
Non-faculty									
Campus		4,020	2,260	1,228	1,109	30	82	7	
Medical Center		4,224	2,917	922	624	33	256	9	
Duke University Health System		7,554	5,931	3,193	2,999	42	138	14	
	Total:	15,798	11,108	5,343	4,732	105	476	30	
Grand Total:		17,888	11,649	5,563	4,790	132	608	31	

Section II

Utilization Analysis

The purpose of the utilization analysis is to compare the representation within our workforce of people in the protected categories (women and minorities) with the availability of such people in the appropriate labor market pool for each job group. Underutilization is defined by the regulations as fewer women or minorities actually participating in a particular job group than would reasonably be expected given their availability. The difference between availability and actual participation must be statistically significant or the disparity is not underutilization. Also, whenever the discrepancy between “actual” participation and “expected” representation is less than one whole person, no further analysis is necessary to conclude that such disparity occurred merely by chance. We have used standard deviation tests approved by the court in Firestone Tire & Rubber Co., Inc. v. Marshall, to determine statistical significance in all job groups with 30 or more incumbents. For job groups with 30 or fewer incumbents we have used the exact binomial model which is considered a mathematically appropriate test of statistical significance regardless of job group size or availability percentage. We declare underutilization if the disparity is two standard deviations or greater.

Eight Factor Analysis

Tabulated figures for the utilization analysis are displayed in Table 2, “Utilization Analysis of Faculty and Staff by Job Group”. The availability figures reported here are calculated using the eight-factor analysis for each job group prescribed by federal regulations (41 CFR 60-2.11). Such an analysis takes into account the available female and minority workforce that can reasonably be recruited. Factors 1-3 draw on the most recent workforce data for the local Metropolitan Statistical Area (MSA). Factors 4 - 5 are similar to one another and are more specific than Factors 1-3, referring to those with the requisite skills in the immediate area (the MSA) and in the reasonable recruitment area, respectively. Factor 6 pertains to promotable and transferable women and minorities among present employees. Factor 7 incorporates data regarding job skills that each job group can acquire through training institutions. Factor 8 is derived from on-campus training efforts. Each of these eight factors is weighted according to its relative importance with the total of the value weights always equaling 100%.

Faculty Availability

The data used to calculate faculty availability are drawn from three reports. The first¹ lists Ph.D. recipients in the United States, broken down by race and sex, for a number of academic disciplines. Included in these statistics is information regarding degree recipients in the humanities, social sciences, physical sciences, and selected professional disciplines. The second² document provides a national listing of medical school faculty. The third¹ document

¹ National Research Council. 1996. *Summary Report 1995: Doctorate Recipients from United States Universities*. Washington, D.C.: National Academy Press.

² Association of American Medical Colleges. 1996. *U.S. Medical School Faculty*.

lists the number of persons who have registered to be considered for faculty employment by an American Law School. These three sources of data theoretically provide the information necessary to compute availability statistics for each academic department in the University.

Staff Availability

Refined occupational data from the 1990 Census are used to compute staff availability. These figures are drawn from national, North Carolina, or Durham, Wake, and Orange Counties' reports of recruiting area data. Available workforce data and labor market studies are used for utilization analysis. For research associates, relevant faculty availability data were used.

Definitions

Statistical Significance: The probability p is the probability of observing a particular deviation (or one more extreme) of an observed value from a hypothesized or expected value. If the calculated probability p value is smaller than 5%, the deviation of the observed value from the expected value is considered to be statistically significant.

Exact Binomial Model: The binomial distribution can be used as a model for the probability of selecting X instances of a particular kind out of n possible cases, when the probability of selecting that particular kind of case is p overall. In affirmative action calculations, n is the total number of people selected, X is the number of people of one subgroup selected, and p is their availability for selection overall.

Number of Standard Deviations (SD): The number of standard deviations between an observed and expected value indicates the size of the discrepancy, independent of the particular distribution. In a normal distribution, 2 SDs represent a large enough discrepancy to be statistically significant.

¹ Association of American Law Schools. 1996. *Faculty Appointments Register*.

Table 2
Utilization Analysis of Faculty and Staff by Job Group - 1998

	Duke's Current Workforce			Available Workforce		Expected Workforce*		Difference**	
	Total	Female Number	Minority Percentage	Female Percentage	Minority Percentage	Female Number	Minority Number	Female Percentage	Minority Percentage
Rank Faculty									
Campus									
Social Sciences ^F	176	51	21	29.0%	11.9%	71	23	20	12%
Humanities ^F	172	70	29	40.7%	16.9%	86	20	16	9%
Natural Sciences ^{F,Min}	199	39	17	19.6%	8.5%	56	34	17	9%
Divinity	28	7	2	25.0%	7.1%	5	3	-2	-7%
Engineering									
Biomedical	26	3	3	11.5%	11.5%	6	6	3	13%
Civil	16	1	2	6.3%	12.5%	2	5	1	4%
Electrical	23	2	5	8.7%	21.7%	2	8	0	1%
Mechanical ^{Min}	29	2	5	6.9%	17.2%	2	10	0	0%
School of the Environment	27	8	3	29.6%	11.1%	10	7	2	7%
Marine Lab ^{Min}	12	3	0	25.0%	0.0%	4	3	1	11%
Fuqua School of Business ^{Min}	91	20	8	22.0%	8.8%	26	16	6	7%
Law School	35	8	4	22.9%	11.4%	12	5	4	10%
Medical School									
Basic Sciences ^{F,Min}	131	31	21	23.7%	16.0%	58	29	27	20%
Clinical Sci-Surgery ^{Min***}	299	44	28	14.7%	9.4%	51	44	7	2%
Clinical Sci-Medicine ^{Min***}	742	205	67	27.6%	9.0%	190	110	-15	-2%
School of Nursing	24	22	1	91.7%	4.2%	23	2	1	4%

^F Underutilization of Females

^{Min} Underutilization of Minorities

* Numbers expected in order to reach parity with workforce availability: Expected Workforce = Current Workforce Total * Available Percentage

** Difference = Expected - Current. *Negative values indicate that workforce percentage exceeds availability*

*** In Table 1A, Surgery and Medicine were combined under Clinical Science

Table 2
Utilization Analysis of Faculty and Staff by Job Group - 1998

	Duke's Current Workforce			Available Workforce		Expected Workforce*		Difference**	
	Total	Female Number	Minority Percentage	Female Percentage	Minority Percentage	Female Number	Minority Number	Female Percentage	Minority Percentage
Non-Faculty									
Professional and Administrative									
11 Officials & Managers ^{F,Min}	611	292	53	47.8%	8.7%	319	44	4%	7%
31 Staff Position at level 14 & above ^{Min}	353	204	27	57.8%	7.6%	197	17	-2%	5%
32 Staff Position at level 11 ^{Min}	640	446	68	69.7%	10.6%	454	20	1%	3%
33 Staff Positions at level 12	822	550	125	66.9%	15.2%	534	11	-2%	1%
34 Staff Position at level 13	631	462	89	73.2%	14.1%	392	11	-11%	2%
35 Staff Position at level 10 & below	631	460	115	72.9%	18.2%	418	2	-7%	0%
36 Research Associates	896	360	249	40.2%	27.8%	245	-115	-13%	-18%
37 Professional Librarians	102	70	10	68.6%	9.8%	70	1	0%	1%
Support Staff									
38 Staff Nurse, level 10	1,731	1,554	311	89.8%	18.0%	1,567	13	1%	-2%
39 Registered Nurse, level 11	97	92	15	94.8%	15.5%	89	-3	-3%	-4%
Clerical									
41 Pay level 0 & 1-4	487	342	268	70.2%	55.0%	347	5	1%	-13%
42 Pay level 5	701	621	432	88.6%	61.6%	577	-44	-6%	-23%
43 Pay level 6	1,193	1,095	395	91.8%	33.1%	1,002	15	-8%	1%
44 Pay level 7 & above	1,140	1,053	330	92.4%	28.9%	882	30	-15%	3%
Technical/Paraprofessional									
51 Pay level 0 & 2-6	915	676	508	73.9%	55.5%	625	-29	-6%	-3%
52 Pay level 7	987	772	333	78.2%	33.7%	663	30	-11%	3%
53 Pay level 8 & above ^{Min}	1,625	1,073	369	66.0%	22.7%	967	158	-7%	10%
Skilled Crafts									
61 Bargaining Unit, Pay level 1-6	22	0	9	0.0%	40.9%	1	-1	4%	-7%
62 Bargaining Unit, Pay level 7-10 ^{F,Min}	103	1	13	1.0%	12.6%	6	21	5%	20%
63 Non-Union, Pay level 0 & 1-7 ^{F,Min}	60	0	3	0.0%	5.0%	5	13	8%	21%
64 Non-Union, Pay level 8 & 9 ^{F,Min}	96	0	7	0.0%	7.3%	10	19	10%	20%
65 Non-Union, Pay level 10 & above ^F	82	0	4	0.0%	4.9%	5	4	6%	4%
Service									
71 Bargaining Unit, Pay level 1	505	350	474	69.3%	93.9%	348	-2	0%	-19%
72 Bargaining Unit, Pay level 2-6 ^F	447	174	416	38.9%	93.1%	210	36	8%	-11%
73 Non-Union, Pay level 2	111	63	99	56.8%	89.2%	62	-1	-1%	-31%
74 Non-Union, Pay level 3 and 4	423	228	331	53.9%	78.3%	208	-62	-5%	-15%
75 Non-Union, Pay level 0 & 5-13	387	170	290	43.9%	74.9%	186	16	4%	-8%

^F Underutilization of Females

^{non} Underutilization of Minorities

* Numbers expected in order to reach parity with workforce availability: Expected Workforce = Current Workforce Total * Available Percentage
 ** Difference = Expected - Current. *Negative values indicate that workforce percentage exceeds availability.*

Section III

Employment Goals

The final step in the preparation of the annual update of the Affirmative Action Plan is calculation of target numbers toward which the University will work in the next few years. It is important to note that the regulations state, "Goals may not be rigid and inflexible quotas which must be met, but must be targets reasonably attainable by means of applying every good faith effort to make all aspects of the entire affirmative action program work." (41 CFR 60-2.12)

In other words, it is the overall *personnel process* that is primarily taken into account in determining compliance, rather than the degree to which strict goals have been met. Consequently we have established personnel practices, including adequate notification of position openings and evaluation of employment and promotion qualifications, according to well-articulated and fair criteria. Fair employment practices supporting our good faith efforts to meet employment goals are enumerated in the personnel manuals and handbooks of the University.

Employment goals are set through a consideration of labor market availability and hiring opportunities. The availability figure may be found in Section II, "Utilization Analysis". Hiring opportunities are projected by using actual appointments over a period of one to five years. Goals are set by calculating expected hires (i.e., projected hires multiplied by availability) and comparing the resulting expected-hire figure with the difference figure, representing the discrepancy between expected and actual numbers in the workforce, developed in the Utilization Analysis. The expected-hire figure is used unless it is greater than the difference figure.

Employment goals for faculty and non-faculty are presented in Table 3, "Employment Goals by Job Group". The goals are developed for all job groups where there is a disparity between labor market availability and Duke's representation. However, as noted in the Utilization Analysis Section, we use the standard deviation test to determine the statistical significance of the observed disparity and declare under-utilization if the disparity between expected and Duke's representation in a particular job group is two standard deviations or greater. The second column in Table 3 identifies job groups where under-utilization for females and minorities was observed. The goals for these groups have been highlighted and are displayed in the last column, Additions to Meet Goals. A comparison of 1995, 1998 and 1999 goals is presented in Appendix A, "Goal Comparisons for Years Following 1997 and 1998."

The timetables for goal achievement are based on hiring opportunities and workforce data from past several years. Timetables are constructed for job groups that spread over several units within the organization, especially in the case of non-faculty staff. It is therefore incumbent upon the unit managers with hiring responsibility to adhere to the proposed timetable in meeting institutional employment goals. Each unit that has position openings for which goals have been set in the Affirmative Action Plan is responsible for developing a meaningful timetable for its individual units, taking into consideration hiring opportunities and current workforce profiles. A model which engages representatives from hiring units, the Employment Office, and the Office for Institutional Equity is proposed in order to develop a structure which supports accountability and a collaborative effort to achieve employment goals set forth in the Plan.

Table 3
Employment Goals by Job Group - 1998

	Current	Underutilization		Current		Workforce		Additions	
	Total Workforce	Female	Minority	Female	Minorities	Female	Minorities	to Meet Goals	to Meet Goals
Regular Rank Faculty									
Campus (5 year goals)									
Social Sciences	176	Yes		51	21	71	23	20	2
Humanities	172	Yes		70	29	86	20	16	-9
Natural Sciences	199	Yes	Yes	39	17	53	26	14	9
Divinity School	28			7	2	5	3	-2	1
Engineering									
Biomedical	26			3	3	6	6	3	3
Civil	16			1	2	2	5	1	3
Electrical	23			2	5	2	8	0	3
Mechanical	29		Yes	2	5	2	10	0	5
School of the Environment	27			8	3	10	7	2	4
Marine Lab	12		Yes	3	0	3	0	0	0
Fuqua School of Business	91		Yes	20	8	26	16	6	8
Law School	35			8	4	10	5	2	1
Medical School (3 year goals)									
Basic Sciences	131	Yes	Yes	31	21	43	27	12	6
Clinical Sci-Surgery	299		Yes	44	28	51	42	7	14
Clinical Sci-Medicine	742		Yes	205	67	190	95	-15	28
School of Nursing	24			22	1	23	2	1	1
Non-Faculty Professional (NFP) & Administrative (1 year goals)									
11 Officials & Managers	611	Yes	Yes	292	53	319	64	27	11
31 NFP I, job level 14 & above	353		Yes	204	27	197	34	-7	7
32 NFP II, job level 11	640		Yes	446	68	454	80	8	12
33 NFP III, job level 12	822			550	125	534	136	-16	11
34 NFP IV, job level 13	631			462	89	392	100	-70	11
35 NFP V, job level 10 & below	631			460	115	418	117	-42	2
36 NFP VI, Research Associates	896			360	249	245	90	-115	-159
37 NFP VII, Professional Librarians	102			70	10	70	10	0	0
Support Staff (1 year goals)									
38 Staff Nurse, job level 10	1,731			1,554	311	1,567	275	13	-36
39 Registered Nurse, job level 11	97			92	15	89	11	-3	-4
41 Job level 0 & 1-4	487			342	268	347	207	5	-61
42 Job level 5	701			621	432	577	272	-44	-160
43 Job level 6	1,193			1,095	395	1,002	410	-93	15
44 Job level 7 & above	1,140			1,053	330	882	360	-171	30
51 Job level 0 & 2-6	915			676	508	625	479	-51	-29
52 Job level 7	987			772	333	663	363	-109	30
53 Job level 8 & above	1,625		Yes	1,073	369	967	437	-106	68
61 Bargaining Unit, Job level 1-6	22			0	9	0	8	0	-1
62 Bargaining Unit, Job level 7-10	103	Yes	Yes	1	13	1	15	0	2
63 Non-Union, Job level 0 & 1-7	60	Yes	Yes	0	3	0	4	0	1
64 Non-Union, Job level 8 & 9	96	Yes	Yes	0	7	1	9	1	2
65 Non-Union, Job level 10 & above	82		Yes	0	4	0	4	0	0
71 Bargaining Unit, Job level 1	505			350	474	348	380	-2	-94
72 Bargaining Unit, Job level 2-6	447	Yes		174	416	198	366	24	-50
73 Non-Union, Job level 2	111			63	99	62	65	-1	-34
74 Non-Union, Job level 3 & 4	423			228	331	208	269	-20	-62
75 Non-Union, Job level 0 & 5-13	387			170	290	186	259	16	-31

*Workforce Goals = Current Workforce + Additions to Meet Goals

**The Additions to Meet Goals number is informed by the number of hiring opportunities as well as workforce goals.

*** Two Standard Deviations or more. *Negative numbers reflect overutilization.*

Section IV

Discussion of Problem Areas and Corrective Action

This section identifies problem areas that need special attention among faculty and exempt and non-exempt staff. It provides analyses of each problem, and also describes corrective actions taken by the University. Section V, "Monitoring and Reporting Systems," provides additional information on some of the specific steps taken to address these problem areas.

Workforce Analysis: Faculty

Problem and Analysis

Women are underutilized in social sciences, natural sciences, humanities and the medical basic sciences, as are minorities in the natural sciences, and basic and clinical sciences. Minorities are also underutilized in Mechanical Engineering, Environment and Business. The underutilization of faculty in these specific areas has not improved significantly despite the improvement in faculty availability since 1995. In addition, University hiring has lagged behind the availability of women and minorities in the labor market for the past several years. As availability continues to increase each year, the gap has widened for women in social sciences and for minorities in natural sciences and clinical sciences. The situation for women and minority faculty has actually improved in basic sciences and medicine, respectively. Finally, junior appointments for women have also been on the rise in all disciplines and have approximated or exceeded availability figures for several years.

It is important to note that availability among minorities varies widely among different groups. The highest availability in all disciplines is found among Asians. Considerably lower levels of availability are found among the Hispanic, Black, and American Indian groups.

Since 1995, there have been some gains for women faculty, both in terms of number of faculty and percent of faculty, in social sciences and in natural sciences. Similarly, there have been some increases among minority faculty in social sciences and in professional schools. However, during this period Duke has experienced some decline among representation of women faculty in professional schools (22% to 19%) and minority representation in natural sciences (10% to 8%).

Among the Medical Center tenure-track faculty the number of women hired has increased slightly in the last five years. However, under-representation continues to be a problem in some departments. For more specific information, refer to Appendix A.

In addition to the gap between faculty hiring and availability, several other factors contribute to the current underutilization of faculty. These factors are described below.

1) In general, all of the faculty figures are affected by expansion of the "regular rank" category of faculty in the 1991-92 academic year. The effect is most discernable in the figures for the Medical Center, where the addition of clinical and research faculty makes a substantial difference. The changes in definition of regular-rank faculty have resulted in the reconstitution of some other areas where minority availability is high, resulting in a larger gap between Duke representation and market availability.

2) Hiring opportunities throughout the University are not numerous, especially in disciplines where Duke is heavily "tenured-in". Comparing current faculty figures with last year's numbers; it becomes apparent that the number of faculty in all job groups has held practically constant since last year, (with the exception of clinical science faculty, which shows a slight increase in surgery and a decline in medicine). During the 1997-98 academic year only 24 new tenure-track appointments were made in Arts and Sciences as compared to 42 in 1996-97.

3) Another explanation for the continued under-representation of females and minorities may be as follows: even though minority and female faculty availability has increased in the past five years, the pool from which Duke or other similar universities may reasonably recruit may not have in fact expanded. Generally, availability figures reflect more junior faculty availability. This small pool can be seen most clearly if we consider some statistics for medical school faculty:

- In 1997, 19% of Black male faculty and 13% Black female faculty were employed at Howard, Meharry and Morehouse colleges;
- Over 50% of Puerto Rican male and female faculty are at Ponce, University of Puerto Rico and Central del Caribe;
- Only 10% of biological science doctorate recipients in 1995 cited definite plans for academic employment;
- Only 1% of the medical students graduating in 1995 listed full-time academic faculty appointment in basic sciences as their first career choices.

Corrective Action

Schools and departments throughout the University continue to make special efforts in recruiting, such as advertising positions in journals targeted toward minority or female readership. (See also Section V, Monitoring and Reporting Systems.)

In January 1994, the Academic Council unanimously endorsed a report by the Committee on Black Faculty of the Academic Council, chaired by Professor Danile T. Gianturco, entitled *A Strategic Plan for Black Faculty Development*. President Keohane and Provost Langford subsequently indicated their support for the underlying goals of the *Strategic Plan*, chief among which was an effort to double the size of the Black faculty at Duke over the period of a decade. In the four year period between 1993 and 1997 the

total number of Black faculty in regular ranks has increased from 45 to 65, an increase of 44% (Annual Progress Report on Duke Strategic Plan for Black Faculty Development – 1998). For tenure track positions, an increase has been more modest, from 36 to 42, an increase of 17%. Clearly, we are making progress at the junior level, and over time we should see progress in senior faculty positions. In the Medical Center, our comparative standing is currently stronger for senior than for junior faculty.

The *Strategic Plan* also addressed the importance of preparing African American students for academic careers, particularly through graduate education.

In 1996, the Medical Center implemented a Diversity policy to enhance its efforts to recruit and retain women and minority faculty in the clinical science area. This initiative also emphasizes professional development of in-house junior faculty. The policy statement is included in Appendix C of this Plan.

Workforce Analysis: Non-faculty Professional/Administrative Staff

Problem and Analysis

Women and minorities are under-utilized in job group 11, *Officials and Managers*, while minorities are under-utilized in job groups 31 and 32, *Non-faculty Professionals 1 and 2*; Blacks are the most under-utilized minority in all three-job groups.

In the case of the *Officials and Managers* job group, Duke University has struggled for several years to maintain parity with Census availability. There are currently 611 individuals in this group, a 6% increase over last year. However, the increase in the incumbent population has not resulted in proportionate gains for women and minorities; we have seen what is approximately a 4.5% increase among minorities, and only a 2% increase among females since last year. The hiring for positions in this category has also been limited; approximately 50 new employees were hired in each of the last two years. Even though women gained some ground, employment goals for women remain higher than those for minorities (a function of higher availability of women in this occupational category).

The specific job classifications in job group 11 that are targeted for women are those in the Census occupation of financial manager (Code 007). The majority of these jobs exist in the following units at Duke:

Accounting
Credit Union
Hospital Financial Management
Internal Audit
Treasurer/Financial Planning

Arts & Sciences—Administration
Duke Management Company
Medical Center Administration

For minorities, the targeted Census occupations in job group 11 (*Officials and Managers*) are primarily administrators and educators. The majority of positions in these categories is at senior management level in academic and non-academic areas, and are spread around campus, medical center and the health system.

In summary, the population of job group 11 has increased by roughly 10% since 1995, and even though the female incumbents increased by 16% and the minority population by 30%, under-utilization persists. The primary reason for the observed under-utilization, in spite of gains among female and minority population, is the fact we are having to make up for over a decade of deficit, and also because the availability figures have consistently increased for both females and minorities.

Under-utilization is also observed in job groups 31 and 32, *Non-faculty Professionals 1 and 2* (job levels 11-15). Job group 31, with 353 employees, primarily includes director and managerial level jobs in academic support areas, departments within the DU Health System and in information technology areas. Job group 32 is comprised of 640 employees and consists of mid-level management positions in the police department, Arts and Sciences administration, and selected areas within the health system.

Even though the overall population in job groups 31 and 32 increased by 13 percent and 28 percent, respectively, since 1995, there has been very little increase since last year. In fact, incumbents in job group 31 decreased by 12.5 percent since last year. There has been modest increase among minority employees but due to limited hiring opportunities and increased labor market availability in certain occupations, Duke continues to face under-utilization in these two job groups. During 1997 and 1998, 105 new employees were hired in job group 31 and 150 employees in job group 32, resulting in significant gains for women but not for minorities.

Specific job classifications in job groups 31 and 32 that warrant special attention and are targeted for minorities include systems programmer, clinical pharmacist, nurse clinician, perfusionist, and computer project manager.

Corrective Action

In a procedure begun in 1988, Manager of Employment and the Equal Opportunity Compliance Officer closely monitor hiring in job groups identified as problem areas. This monitoring consists of recruitment efforts and regular audits. Beginning in January 1994, staff positions filled at pay level 98 (highest level in the hierarchy) has been monitored through the combined effort of unit managers and directors, the Manager of Employment, and the Equal Opportunity Compliance Officer. (See also Section V, *Internal Audit and Reporting Systems*.)

Starting with the current AAP year, monthly positions within each of the job groups will be reviewed to identify specific jobs where under-representation of women and minorities continues to exist. The selected positions will be closely monitored for

both internal and external entrants into these positions. Furthermore, the Employment Office has undertaken a major recruitment initiative to identify and seek out qualified women and minority applicants.

Workforce Analysis: Support Staff

Problem and Analysis

Women are under-represented in job groups 62, 63, 64, *Skilled Crafts*; and job group 72 *Service* (job levels 2 – 6) while, minorities are under-represented in job groups 53, *Technical/Paraprofessional*; and 62-65, *Skilled Crafts*.

We continue to experience an under-utilization of minorities (and to some extent women) in the skilled craft job groups, 62-65. These four job groups account for only 341 employees, but have contributed to a chronic under-utilization of women and minorities for the past several years. The total skilled craft workforce has not increased significantly since 1995, and remained at 341 since last year, thus providing very few hiring opportunities. There has been some movement in these job groups reflected by 25 new hires in the last two years, but the problem is also exacerbated by the fact that availability in these areas has increased, leaving us still further behind.

In job group 53, which consists primarily of technical and paraprofessional positions at job levels 8 and above, the concentration of minority under-utilization is in the census occupation of clinical laboratory technologists and technicians (Census codes 203) in the Medical Center, and miscellaneous administrative support staff (Census code 389). The latter category consists of the following job classifications throughout the University:

Staff Specialist	Clinical Trials Specialist
Publications Coordinator	Editorial Assistant, Sr.
Medical Technologists	Computer Programmer
Laboratory Research Assistant	

Finally, women continue to be under-utilized in Job Group 72, *Service*. The positions in this job group fall under the bargaining unit contract and include the male-dominated job classifications of floor finisher and utility worker. Laundry attendants, grounds and housekeeping staff, food service assistants, and traffic controllers are also included in this job group. There are currently 447 employees in this job group, practically the same number as last year. The size of the workforce in this job group has not increased over the years, and coupled with low turnover among employees, has resulted in but a few hiring opportunities.

In summary, although there was some improvement over the last year, under-utilization of minority's remains problematic for job groups 53, *Technical/Paraprofessional*; and 62-64, *Skilled Crafts*. Under-representation of minorities in these job groups is largely a function of a gap between University hiring and

increased availability, as reflected in the 1990 Census. For example, for inhalation respiratory therapists, minority availability has increased from zero to almost 21 percent, whereas our minority representation has always been lower than that figure. In skilled crafts, we have suffered from chronic under-representation of minorities over a period of time, and this is also the case for women in certain *Service* jobs.

The situation in *Skilled Crafts* area is somewhat different in that even though we show under-representation, employment goals are rather modest; addition of one or two employees to reach parity with Census availability, this is because there is very low availability in our recruiting area of persons with required skills.

Corrective Action

Each job group has been analyzed to determine which job classifications are subject to review prior to the making of a job offer. Pre-hire review process is described in detail in Section V, Monitoring and Reporting Systems. A list of exempt and non-exempt job classifications subject to the review process are also provided in this section.

For *Skilled Crafts* positions, the Department of Facilities and Management closely monitors openings in each of these job groups and, with the support of unit directors and a system of priority hiring, they have launched a serious effort to correct the problem. Moreover, every effort is being made to develop and implement community outreach programs to secure qualified female and minority candidates in a traditionally male dominated career field.

The Critical Needs Job Training Program, managed by the Office of Human Resources, is an in-house program designed to address the problem of low availability in the local labor market in certain occupational categories. This program identifies Duke University's employment needs and offers current employees an opportunity to further their careers by offering education and training for specified jobs. Approximately, 300 employees have participated in this program since it was first implemented in 1990.

Section V

Monitoring and Reporting Systems

The University maintains a number of monitoring systems in connection with the Affirmative Action Plan for the recruitment of faculty; professional and administrative staff, and support staff. In all cases the process described is supported by computer records, and in the case of faculty appointments the self-audit records are checked against the Trustees' lists of faculty personnel actions to ensure that a complete record exists. In addition, the reporting and monitoring system allows us to:

1. Maintain accurate records of all applicants, hires, bidders, internal selections (promotion, demotion or transfer) and terminations by gender and race.
2. Review all selection, promotion and training procedures to ensure they are non-discriminatory.
3. Monitor progress toward established goals to provide feedback to selecting officials on the numbers of opportunities and the percentage of selections of minorities and women in Job Groups and to compare selection rates to the established goals. We are currently in the process of formalizing the infrastructure to guarantee accountability; the Office of Human Resources and the EEO Compliance Officer will be responsible for monitoring and auditing functions.

Faculty Appointments

When faculty recruitment is authorized, the Dean sends a copy of the authorization form to a number of people who have an interest in recruitment, including the Equal Opportunity Compliance Officer. The compliance officer in turn writes to the chair of the recruiting department advising him or her of the affirmative action goals and the availability of women and minorities in that discipline.

Furthermore, in the Arts and Sciences department, the recruiting departments use a Self-Declaration Form to collate information on applicant's race and gender; the form is returned to the Dean's office, which then works with each department to monitor the applicant pools.

In all areas where under-utilization is indicated by availability, the recruiting process of a department or professional school is subject to review by the Dean or Provost prior to the offering of the position.

Recruitment results are recorded by the recruiting department for all faculty appointments through the use of an "EEO Faculty Self-Audit" form, which lists recruiting sources, applicant pools, and screening steps, as well as the name, academic rank, race and sex of the appointee. The Equal Opportunity Compliance Officer monitors these records and annual reports are prepared on recruiting activity.

Procedures for faculty appointments, re-appointments, and promotions in Arts and Sciences are detailed in the Appointment, Promotions and Tenure Handbook. A process for initiation of searches and of reviews is also outlined in the Handbook. The Faculty Handbook describes these procedures for all faculty.

Staff (Exempt) Appointments

Staff positions in job groups with unattained employment goals are subject to a pre-appointment review process consisting of three steps: completion of a recruitment plan by the hiring department; completion of an "EEO Staff Self-Audit Form"; and approval by the Employment Manager. Where questions arise the matter may be referred to the Equal Opportunity Compliance Officer.

A quarterly report of staff appointments and promotions is furnished to the Equal Opportunity Compliance Officer; results are tabulated annually and analyzed for proportional effect. For the first time this year, monthly positions in which under-representation for Blacks or women occur were also identified for review and monitoring purposes. The Pre-hire review criteria described in the Support Staff section below were applied to identify job classifications. However, there were some shortcomings in applying this approach to staff positions. Most significantly, exempt job classifications are generally more specific and more narrowly constructed than non-exempt. Census categories, however, tend to be broad and encompass varying levels within the same occupation. Even though we have undertaken this analyses and identified exempt positions, it appears that it would be inappropriate to target these positions without still further analyses. For example, it may be possible to develop a variation of the pre-hire review process to better address the subtleties of exempt positions. Job classifications subject to pre-hire review are identified in Table 1 on the next page.

Support (non-exempt) Staff

In each job group with unattained employment goals, the Compliance Officer identifies the job classifications responsible for under-representation. Positions filled in these job classifications are subject to review prior to any job offer. Initial review is conducted in the Employment Office and all routine releases are made there. Where questions arise, the matter may be referred to the Equal Opportunity Compliance Officer.

The Equal Opportunity Compliance Officer audits records quarterly in preparation for a pre-hire review report. Job classifications are subject to a pre-hire review if:

1. there are 10 or more employees in the classification,
2. they are in a job group in which a goal is set in the Affirmative Action Plan,
3. the Black/female representation of the classification is less than the 1990 Census availability and
4. addition of more than one person would be necessary to achieve Census parity.

The pre-hire review process is currently being examined to enhance its effectiveness by developing clearly defined accountability and reporting structures.

Adverse Impact

In addition to the position analysis noted above, adverse impact analysis is conducted on applicant flow data. Adverse impact analysis is a series of statistical calculations that measure selection rates in employment decisions. Through the use of our existing applicant tracking system and specialized adverse impact software the University monitors adverse impact to major organizational units. Findings of adverse impact are used by the Equal Opportunity Compliance Officer and the Manager of Employment to determine hiring patterns, which may warrant additional investigation and/or increased monitoring.

Based on the 1998-99 review, a list of exempt and non-exempt job classifications subject to pre-hire review for 1999 is presented in Tables 5A and 5B, respectively.

Table 5A
Job Classifications under Review for 1999
Exempt Positions

Job Group	Position Code	Job Titles	1990 Census Availability (%) for Females	Duke's Workforce for Females	1990 Census Availability (%) for Blacks	Duke's Workforce for Blacks
11	1125	Manager, Systems Project	34.7%	18.2%	8.8%	0.0%
	1821	Major Gifts Officer			6.0%	0.0%
31	1323	Staff Nurse Anesthetist	94.9%	77.3%	12.7%	4.5%
	1464	Analyst Programmer, Sr.			8.4%	4.1%
	1475	Systems Programmer, Sr.	33.8%	10.0%	8.4%	0.0%
	1632	Physician's Associate, Sr.	55.7%	48.1%	9.8%	0.0%
	1642	Clinical Pharmacist			35.0%	0.0%
32	1089	Occupational Health Nurse	94.9%	91.7%		
	1092	Clinical Specialist	94.9%	92.3%	12.7%	0.0%
	1129	Nurse Practitioner	94.9%	90.9%	12.7%	2.3%
	1273	Nurse Clinician			12.7%	5.9%
	1386	Health System User Analyst III			8.4%	7.7%
	1481	Perfusionist	67.0%	33.3%	18.1%	16.7%
	1631	Physician's Associate			9.8%	3.5%
	1711	Head Nurse, AC	94.9%	86.7%		
	2003	Unclassified			21.8%	7.8%
	2112	Computer Project Manager	33.8%	7.1%	8.4%	7.1%

Table 5B
Job Classifications under Review for 1999
Non-Exempt Positions

Job Group	Position Code	Job Titles	1990 Census Availability (%) for Females	Duke's Workforce for Females	1990 Census Availability (%) for Blacks	Duke's Workforce for Blacks
53	12	Cancer Information Specialist	61.7%	50.0%		
	52	Clinical Trials Assistant II			32.9%	23.0%
	68	Respiratory Care Practitioner I			11.9%	0.0%
	83	Staff Specialist			27.2%	18.1%
	245	Cardiac Cath Technician (Cert.)			32.9%	7.7%
	258	Data Technician, Sr.			15.4%	10.0%
	263	Respiratory Care Practitioner, Adv.	57.3%	22.2%	17.2%	0.0%
	281	Editorial Assistant, Sr.	74.6%	55.0%	27.2%	5.0%
	294	Electronics Technician, Sr.	13.9%	8.3%	28.6%	0.0%
	313	Staff Specialist			27.2%	18.6%
	414	Library Assistant, Sr.			36.0%	15.2%
	460	Medical Technician Sr.			35.6%	11.6%
	474	Nuclear Medical Technician	82.3%	66.7%	23.2%	5.6%
	502	Police Officer			40.8%	7.4%
	568	Respiratory Care Practitioner II			17.2%	6.4%
	569	Respiratory Therapy Supervisor			17.2%	0.0%
	576	Information Services Specialist	35.0%	25.0%		
	691	Research Specialist			15.6%	6.9%
	713	Radiological Tech Special Procedures	82.3%	65.5%	23.2%	3.6%
	733	Medical Technician (Cert.)			35.6%	13.6%
	748	Computer Program I	33.8%	15.4%		
	930	Library Associate			36.0%	26.7%
	987	Computer Technician III			28.6%	23.5%
	995	Ultrasound Technician			35.6%	0.0%
62	721	General Maintenance Mechanic	8.8%	0.0%		
	963	Refrig & A/C Mechanic (Cert./Lic.)	3.6%	0.0%	13.0%	0.0%
63	187	Carpenter Sr.	4.8%	0.0%	67.1%	10.0%
	424	Zone Maintenance Mechanic	8.8%	0.0%	34.5%	0.0%
64	183	Instrument Maker, Sr.	7.0%	0.0%	36.0%	0.0%
	226	Communications & Electronics, Tech II	24.0%	0.0%	31.1%	9.1%
	753	HVAC Mechanic, (Cert./Lic.)	3.6%	0.0%	13.0%	0.0%
	754	Plumber, (Cert./Lic.)	0.2%	0.0%	20.8%	0.0%
	755	Electrician, (Cert./Lic.)	0.6%	0.0%	16.1%	0.0%
72	325	Floor Finisher	37.5%	2.3%	70.4%	31.8%
	463	Grounds Equipment Operator, Sr.	7.6%	0.0%		

Section VI

Community Action Programs

The Office of Community Affairs at Duke University is responsible for developing and implementing programs in the communities surrounding Duke.

Each of the programs listed below is being implemented through the Duke-Durham Neighborhood Partnership Initiative, a program that enhances Duke University's ability to play a more coordinated and constructive role as a good citizen in Durham. The partnership addresses compelling issues and needs identified by the twelve neighborhoods adjacent to the Duke campus and the seven public schools that are in them.

Partners for Youth

Partner for Youth is a summer jobs and mentoring program that addresses one of the primary concerns of Durham's Southwest Central residents-preparing their teens for productive careers. Partners for Youth was created with the input of an advisory committee representing Duke and the community. The program provides all-around support for participating teens by matching them with four mentors. There's a community-based mentor, an adult who meets with the student four to six hours per week for at least one year. The youth chooses a teacher or coach to be their school-based mentor. Duke students assist with academic needs, and there's a mentor on the student's summer job. Each of these mentors encourages teens to see possibilities for themselves. Both the mentors and students explore workplace and academic issues through monthly workshops and field trips to labs, businesses and other places of interest.

The summer job complements the program's mentoring component by providing practical experience. Employers pay half of the student's six-dollar-an-hour stipend (Duke pays the other half), and they identify one of their employees who will meet with the student once during their part-time workweek. The program has been successful enough to double the number of participating students to 25 in 1999.

STARS!

STARS! is a six-week summer program at E. K. Powe and George Watts elementary schools for children with little or no pre-school experience. The program, which is funded by grants from the Duke Endowment and the Triangle United Way through Durham's Consortium for Human Resource Development, prepare these kids for their upcoming school careers by familiarizing them with such fundamentals as riding a bus and working successfully in a group. The program instills the rising kindergartner with more confidence, better manners and a longer attention span by the time school starts. In addition to teaching the children basic learning concepts and appropriate school

behavior, the program includes four evening workshops to get parents and caregivers involved in the school. Pre-school health screenings are also provided.

West End Teen Center

Thanks to a grant from the Duke Endowment, Southwest Central Durham's West Ende will soon have a teen center to complement the West End Community Center (WECC). The teen center, which will be located in a rehabilitated house next to the new WECC, will provide teens living in the West End with a safe place to go right after school. The Duke Endowment grant will fund the rehabilitation of the house. The new facility will provide a locale for a variety of programs offered through the Duke-Durham Neighborhood Partnership Initiative, including Teen Focus, which includes week night and weekend activities and educational field trips. The program will double the number of young people it serves to 40 when the teen center is completed.

Partnership for Success

Partnership for Success is a tutoring program led by two Duke professors to improve the effectiveness of tutors and host classroom teachers in Duke's five partner elementary schools. In addition to orientation programs for classroom teachers and Duke student tutors, the program also provides tutoring materials and places planning coordinators in the schools to organize the efforts of the tutors.

Community Outreach Partnership Center

The Community Outreach Partnership Center, which opened its doors in August of 1998, represents another step in the revitalization of Southwest Central Durham. The center is jointly sponsored by UNC-Chapel Hill and Duke, and is supported by a three-year, \$400,000 grant awarded last year by the U.S. Department of Housing and Urban Development. The center serves as headquarters for a variety of community development activities, including job training, computer training, consumer credit counseling, community capacity building and information and referral services. The center also leases space to Casa Multicultural, a grassroots Hispanic/Latino group that tackles housing, crimes and workplace issues.

Technology Project

One main goal of the Duke-Durham Neighborhood Partnership Initiative is to implement a technology program in neighborhoods where many residents have little if any access to computers. More specifically, the initiative assists neighborhoods and schools adjacent to the University with the acquisition of equipment and helps improve the level of computer literacy through a comprehensive technology-training program. Over the past year, 36 surplus computers have been placed in adjacent neighborhoods and schools. Twenty-one residents have been trained to use the computers and will serve as trainers for their neighborhoods. (Each neighborhood will create its own training plan.)

Easy Web Inc. will lend ongoing support (a company that specializes in curriculum development and training for adult and children programs) as well as two offices at Duke: the Office of Information Services and the Department of Training and Organizational Development. And in December of 1998, nine new Internet-ready IBM computers and three new color inkjet printers were distributed to the West End, Crest Street, and Walltown neighborhoods with the help of a grant earmarked for community outreach efforts from the University's Auxiliary Services. Once a service provider is decided upon, the new computers will enable the program to fulfill its goal of connecting neighborhood residents to the Internet. Duke representatives will continue meeting with residents about once a month to achieve the final goal of the program, which is to enable the neighborhoods to be self-sufficient with their technology needs.

Duke University Minority and Women Business Enterprise Program

This program is responsible for encouraging and for monitoring participation of minority and women owned business at Duke University and its affiliates. The program was initiated in 1988 and is currently managed by the Office of Procurement Services. A more detailed information about this initiative, including goals for 1999-2000 is provided in Appendix D.

Section VII

Sex Discrimination Guidelines and Harassment Policy and Procedures

The Office of Contract Compliance Programs issued definitive regulations in 1980 covering sex discrimination. Duke University complies with the Sex Discrimination Guidelines (41 CFR 60-20) as follows:

Recruitment and Advertisement

Duke University has no jobs for which a bona fide occupational qualification has been established. Therefore, all jobs at Duke are open to men and women without regard to marital status.

Job policies and practices

Duke makes no distinction based upon sex or marital status in employment opportunities, wages, hours, or other conditions of employment, including fringe benefits.

Seniority systems

The University has no seniority lines or lists maintained by sex.

Discriminatory wages and placements

Duke's wage schedules are not related to or based on the sex of employees, and the University does not effect discriminatory placement (i.e., in "men's jobs" or "women's jobs").

Affirmative Action

Both sexes have equal access to training programs at Duke; women are encouraged to apply for jobs from which they have been previously excluded or in which they are underrepresented.

Pregnancy, childbirth, and related medical conditions

Employees or applicants for employment are not denied employment because of pregnancy, childbirth, or related medical conditions. Maternity leave policies have been established and are published in the Faculty Handbook, the Staff Benefits Guide, and the Personnel Policy Manual.

University Harassment Policy and Procedures for Resolution of Claims of Harassment

Harassment of any kind is not acceptable at Duke University. It is inconsistent with the University's commitments to excellence and to respect for all individuals. Duke University is also committed to the free and vigorous discussion of ideas and issues, which the University believes will be protected by this policy. This policy is intended to complement Duke University's Equal Opportunity Policy (Duke University Personnel Policy A-5).

Scope

This Harassment Policy applies to all persons who are enrolled or employed at Duke University while they are on university property or are participating in a university-sponsored activity off-campus. The Procedures for Resolution of Claims of Harassment, described below, apply to situations in which both complainant and respondent are enrolled or employed at Duke University.

Situations which involve others, including applicants for admission or employment who believe they have been harassed by employees of Duke University, and students and employees of Duke University who believe they have been harassed by contractors or vendors serving the University, will be resolved through procedures for complaints of discrimination. Persons who believe they have experienced these situations should contact the Office of the Vice President for Institutional Equity.

Policy

- I. Duke University is committed to protecting the academic freedom and freedom of expression of all members of the University community. This policy against harassment shall be applied in a manner that protects the academic freedom and freedom of expression of all parties to a complaint. Academic freedom and freedom of expression include but are not limited to the expression of ideas, however controversial, in the classroom, residence hall, and, in keeping with different responsibilities, in workplaces elsewhere in the University community.
- II. Definition of harassment at Duke University:
 - A. Harassment is the creation of a hostile or intimidating environment, in which verbal or physical conduct, because of its severity and/or persistence, is likely to interfere significantly with an individual's work or education, or affect adversely an individual's living conditions.
 - B. Sexual coercion is a form of harassment with specific distinguishing characteristics. It consists of unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when:
 1. submission to such conduct is made, explicitly or implicitly, a term or condition of an individual's employment or education; or
 2. submission to or rejection of such conduct is used as a basis for employment or educational decisions affecting an individual.
 - C. The conduct alleged to constitute harassment under this policy should be evaluated from the perspective of a reasonable person similarly situated to the complainant and considering all the circumstances.
- III. In considering a complaint under the Duke University Harassment Policy, the following understandings shall apply:
 - A. Harassment must be distinguished from behavior which, even though unpleasant or disconcerting, is appropriate to the carrying out of certain instructional, advisory, or supervisory responsibilities.

- B. In so far as Title VII (Equal Employment Opportunity) of the Civil Rights Act of 1964 is applicable (i.e., in complaints concerning carrying out of non-instructional employment responsibilities), the University will use the definition of sexual harassment found in the Equal Employment Opportunity Commission (EEOC) Guidelines: “conduct of a sexual nature...when such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.”
- C. Instructional responsibilities require appropriate latitude for pedagogical decisions concerning the topics discussed and methods used to draw students into discussion and full participation.

IV. The following behaviors are also prohibited by the Harassment Policy:

- A. Reprisals
 - 1. Against the Complainant: It is a violation of Duke’s Harassment Policy to retaliate against a complainant for filing a charge of harassment. A complaint of retaliation may be pursued using the steps followed for a complaint of harassment. When necessary, the appropriate dean or other University officer may monitor student grading or faculty/staff reappointment, tenure, promotion, merit review, or other decisions to ensure that prohibited retaliation does not occur.
 - 2. Against the Respondent. Lodging a complaint of harassment is not proof of prohibited conduct. A complaint shall not be taken into account during reappointment, tenure, promotion, merit, or other evaluation or review until a final determination has been made that the University’s Harassment Policy has been violated.
 - B. Knowingly false or malicious complaints. To file a knowingly false or malicious complaint of harassment or of retaliation is a violation of the Harassment Policy. Such conduct may be pursued using the steps followed for a complaint of harassment. A complaint under this provision shall not constitute prohibited retaliation.
 - C. Intentional breaches of confidentiality. All participants in the Harassment Complaint Resolution process, including the complainant and respondent, witnesses, advisors, mediators, members of hearing panels, and officers, shall respect the confidentiality of the proceedings. Breaches of confidentiality jeopardize the conditions necessary to the workings of internal procedures for resolution of claims of harassment. Participants are authorized to discuss the case only with those persons who have a genuine need to know. A complaint alleging an intentional breach of confidentiality may be pursued using the steps followed for a complaint of harassment. Such a breach may also constitute an act of retaliation. A breach of confidentiality may void the outcome of any previously agreed-upon resolution to a complaint.
- V. Individuals who believe they have been harassed, individuals charged with harassment, and individuals with knowledge of situations in which harassment

may exist should consult Duke University's "Procedures for Resolution of Claims of Harassment."

VI. This Harassment Policy and the Procedures for Resolution of Claims of Harassment are only part of Duke University's effort to prevent harassment in our community. In addition to spelling out steps for making and resolving complaints, the University is also committed to programs of education to raise the level of understanding concerning the nature of harassment and ways to prevent its occurrence.

NOTE: This Harassment Policy replaces previous statements on Sexual Harassment in Employment and Sexual Harassment of Students. Specifically it replaces Appendix W of the Faculty Handbook, Policy IX.180 and Policy IX.190 in the Duke University Policy Manual, and the statement on Sexual Harassment of Students in the various school Bulletins.

Procedures for Resolution of Claims of Harassment

Please see one of the following sources for the harassment claims procedures:

Institutional Equity Web page (<http://www.duke.edu/~equity/index.htm>)

Faculty Handbook

Personnel Policy Manual

Appendix A

Goal Comparisons for Years Following 1997 and 1998

Section 1: Campus Faculty (Five Year Goals)

Job Group - Social Sciences	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	172	44	17	39.6	11.2	62	19	18	2
1997	177	50	21	40.3	12.3	68	22	18	1
1998	176	51	21	40.6	12.9	71	23	20	2

Job Group - Humanities	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	189	72	28	49.2	9.5	92	28	20	0
1997	186	74	30	47.9	10.6	89	30	15	0
1998	172	70	29	50.1	11.7	86	20	16	0

Job Group - Natural Sciences	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	192	33	20	26.9	11.1	45	21	12	1
1997	199	32	20	27.8	15.0	45	27	13	7
1998	199	39	17	28.3	17.0	53	26	14	9

Job Group - Professional Schools	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	282	62	26	26.8	17.2	76	37	14	11
1997	299	72	32	28.5	19.2	85	44	13	12
desegregated in 1998									

Job Group - Biomedical Engineering	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	26	3	3	24.3	24.5	6	6	3	3

Table Notes

1. Prior to 1998, data for professional schools (including Nursing) were aggregated.
2. Job groups included in this Appendix are those that show statistically significant under-utilization.
3. Zeros in the Additions to Meet Goals column may indicate over-utilization. Refer to Table 3 for detail.

Appendix A

Goal Comparisons for Years Following 1997 and 1998

Job Group - Civil Engineering	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	16	1	2	9.9	34.1	2	5	1	3

Job Group - Electrical Engineering	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	23	2	5	9.2	36.4	2	8	0	3

Job Group - Mechanical Engineering	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	29	2	5	6.7	35.5	2	10	0	5

Job Group - School of the Environment	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	27	8	3	36.3	24.1	10	7	2	4

Job Group - Marine Lab	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	12	3	0	36.3	24.1	3	0	0	0

Job Group - Fuqua School of Business	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	91	20	8	28.9	17.3	26	16	6	8

Appendix A

Goal Comparisons for Years Following 1997 and 1998

Job Group - Law School	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	35	8	4	33.0	13.4	10	5	2	1

Section 2: Medical Faculty (Three Year Goals)

Job Group - Basic Sciences	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	140	32	18	41.7	13.1	48	18	16	0
1997	133	31	18	43.2	18.0	48	24	17	6
1998	131	31	21	43.9	22.0	43	27	12	6

Job Group - Clinical Science - Surgery	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	258	46	15	17.1	15.0	46	27	0	12
1997	279	50	25	16.8	14.4	50	37	0	12
1998	299	44	28	17.2	14.8	51	42	0	14

Job Group - Clinical Science - Medicine	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	778	215	66	24.6	14.2	215	103	0	37
1997	766	217	72	24.8	14.3	217	109	0	37
1998	742	205	67	25.6	14.8	190	95	0	28

Section 3: Exempt Staff (One Year Goals)

Job Group 11 - Officials & Managers	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	553	252	39	50.1	11.2	267	42	15	3
1997	577	267	44	50.1	11.2	282	47	15	3
1998	611	292	53	52.2	15.9	319	64	27	11

Appendix A

Goal Comparisons for Years Following 1997 and 1998

Job Group 31 - Non-Faculty Professional I	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	312	181	31	59.3	10.4	185	32	4	1
1997	334	199	31	59.3	10.4	199	34	0	3
1998	353	204	27	55.9	12.4	197	34	0	7

Job Group 32 - Non-Faculty Professional II	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	503	339	51	71.8	12.4	361	56	22	5
1997	554	384	63	71.8	12.4	398	68	14	5
1998	640	446	68	70.9	13.8	454	80	8	12

Section 3: Non-Exempt Staff (One Year Goals)

Job Group 53 - Technical	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	1453	952	312	58.4	30.3	952	354	0	42
1997	1513	1010	346	58.4	30.3	1010	388	0	42
1998	1625	1073	369	59.5	32.4	967	437	0	68

Job Group 62 - Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	108	0	13	4.7	24.2	0	14	0	1
1997	105	0	13	4.7	24.2	0	14	0	1
1998	103	1	13	6.1	32.6	1	15	0	2

Job Group 63 - Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	57	0	3	6.4	30.5	0	4	0	1
1997	56	0	3	6.4	30.5	0	4	0	1
1998	60	0	3	7.9	26.0	0	4	0	1

Appendix A

Goal Comparisons for Years Following 1997 and 1998

Job Group 64 - Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	95	0	8	8.6	29.2	0	9	0	1
1997	99	0	8	8.6	29.2	0	9	0	1
1998	96	0	7	9.9	27.4	1	9	1	2

Job Group 65 - Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	82	0	4	6.2	9.2	0	4	0	0

Job Group 72 - Service	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	446	166	408	42.3	83.0	178	408	12	0
1997	440	171	406	42.3	83.0	183	406	12	0
1998	447	174	416	47.0	81.9	198	366	24	0

Table Notes

1. Prior to 1998, data for professional schools (including Nursing) were aggregated.
2. Job groups included in this Appendix are those that show statistically significant under-utilization.
3. Zeros in the Additions to Meet Goals column may indicate over-utilization. Refer to Table 3 for detail.

Appendix B

Description of Job Groups

The Office of Federal Contract Compliance Programs requires that the workforce of the federal contractor (in this case Duke University) be categorized into "job groups" of similar job characteristics (41 CFR 60-2.11). Consequently we have established 34 job groups comprised of job levels as described in the Duke University Job Classifications and Pay Ranges guide.

Faculty

The faculty is divided into seven job groups:

Campus Faculty

- Social Sciences
- Humanities
- Natural Sciences
- Professional Schools (Non-medical)

Medical School Faculty

- Basic Sciences
- Clinical Sciences, Surgical
- Clinical Sciences, Medical¹

Non-faculty Professional and Administrative Staff

The non-faculty professional and administrative staff is divided into eight job groups:

- 11 *Officials and Managers*
Staff positions at job level 14 and above, except for "assistants to" and certain professional occupations such as pharmacist.
- 31 *Non-faculty Professional I*
Staff positions at job levels 14 and above, not officials and managers

¹ The division of clinical sciences attempts to break up a group that is quite large and which contains departments of widely varying size. The departments in "Surgical" are Anesthesiology, Obstetrics & Gynecology, Ophthalmology, and Surgery. The remainder of the clinical science departments are "Medical." The division generally follows NIH literature. The distinction between "Surgical" and "Medical" is recognized in determining availability for purposes of utilization analysis.

- 32 *Non-faculty Professional II*
Staff positions at job level 11; includes unclassified staff positions in position codes 2003, 2004, 2005, 2006.
- 33 *Non-faculty Professional III*
Staff positions at job level 12
- 34 *Non-faculty Professional IV*
Staff positions at job level 13
- 35 *Non-faculty Professional V*
Staff positions at job levels 10 and below
- 36 *Non-faculty Professional VI*
Research Associates, position code 1361
- 37 *Non-faculty Professional VII*
Professional Librarians

Support Staff

The support staff takes up the remaining 19 job groups:

Nonexempt Professional - Registered Nurses

- 38 Registered Nurses - 610 Staff Nurse, job level 10
- 39 Other Registered Nurses, job level 11

Clerical

- 41 Job levels 00 and 01-04; position 904
- 42 Job level 05
- 43 Job levels 06 and 05
- 44 Job levels 07 and above

Technical/Paraprofessional

- 51 Job levels 00 and 02-06
- 52 Job levels 07 and 05; position code 905
- 53 Job levels 08 and above

Skilled Crafts (Bargaining Unit)

- 61 Job levels 01-06
- 62 Job levels 07-10

Skilled Crafts (Non-Union)

- 63 Job levels 00 and 01-07
- 64 Job levels 08 and 09; position code 906
- 65 Job levels 10 and above

Service (Bargaining Unit)

- 71 Job level 01
- 72 Job levels 02-06

Service (Non-Union)

- 73 Job level 02
- 74 Job levels 03 and 04
- 75 Job levels 00 and 05-13; position code 907

Appendix C
Duke University Medical Center
Diversity Policy

An effective plan to develop diversity within our faculty requires a major commitment from both administration and faculty. The rationale for developing such a plan is to provide an equal opportunity for all individuals and to strengthen our faculty through the development of diversity. The basis of this plan is the development of extensive pools of qualified candidates and effective systems for mentoring faculty. This must be done while maintaining the standards of excellence expected for faculty at Duke University Medical Center. Major modification of the diversity within our faculty will require special efforts since the pool size for underrepresented minorities is small and we will not be hiring a large number of new faculty in the near future. These constraints, however, should not prevent an effective plan from being implemented. We also recognize that increasing our training of under-represented minorities can significantly enhance the size of the pool. As a special situation, we should be able to increase the number of women on our faculty in departments where they are underrepresented in a short time period since the pool size is relatively large. The necessary components of a successful diversity action plan are as follows:

- The hiring and retention of women and minorities is a high priority goal of the Medical Center. This will be stated in all planning documents, and the Chancellor and the Medical Center Administration must take this commitment publicly on a regular basis.
- Department Chairs have the primary responsibility for faculty recruitment, and they too must make a real commitment. In the review of the performance of Chairs, the development of faculty diversity will be high on the list of criteria. Group strategy sessions with Chairs will need to be held, probably with outside help.
- Departments should establish mechanisms for effective recruitment and mentoring of women and minorities. The mechanisms established and the progress made by departments in their diversity program will be reviewed at the annual budget meeting. Reasonable goals will be set at these meetings, and department chairs will be held accountable for making progress.
- Institutional help will be needed in the recruitment and mentoring process. The Vice Chancellor for Academic Affairs will establish mechanisms to assist in the recruitment and mentoring of women and minorities.
- Well-advertised national searches with specific and genuine efforts to reach underrepresented minorities need to be held for all tenure track positions. The Chancellor must approve exceptions, which will be very rare.
- Special attention should be directed toward the recruitment of house staff, as they are an important source for clinical department faculty. The programs for graduate students and medical students are reasonably effective although the pool for minority graduate students is small.

Appendix D

Minority and Women Business Enterprise Program

The Minority and Women Business Enterprise (M/WBE) program is responsible to engage in an effort to increase the level of participation by minority and female vendors at Duke University and its affiliates. The program was inaugurated in 1988. At present, payment volumes to minority and women owned businesses are approximately \$20 million.

The M/WBE program is coordinated through the Office of Procurement Services. Fifty percent of a one full-time staff member's time is dedicated to this program. The M/WBE Coordinator is responsible for:

- Creating and maintaining an accurate and up-to-date database of minority and female vendor and providing this information to the University community
- Providing recommendations for target participation levels for minority and female vendors
- Developing and implementing strategies for attaining annual target participation levels for minority and female vendors
- Identifying and recruiting qualified M/WBE vendors and identifying opportunities for M/WBE vendors within the University community including primary and secondary suppliers
- Setting realistic and achievable goals for small and small-disadvantaged business who may subcontract on government contracts/grants and insuring these goals are achieved
- Developing and disseminating reports to principal investigators and appropriate contract and grant officers regarding subcontracting compliance obligations
- Preparing required reports, to track program evaluation and to satisfy federal compliance requirements
- Promoting the University's M/WBE efforts in Durham and the surrounding counties

In an effort to increase buying efficiency, Procurement Services has strategically focused its efforts on reducing the number of vendors utilized by the University community. Duke University's strategies for M/WBE has simultaneously been modified to concentrate on increasing the number of women and minority vendors as secondary suppliers. In many commodity areas, small businesses cannot compete with large, national suppliers. To establish viable opportunities for M/WBE businesses, we strive to secure second-tier M/WBE contracts with our primary suppliers.

We believe significant opportunities exist for M/WBE contracts in the construction arena at Duke University. To that end, we have recently strengthened the M/WBE requirements in our construction bid and implementation process. The M/WBE program

has also strengthened its outreach to women and minority contractors by offering a contractor's orientation course and sponsoring a business opportunity fair for contractors.

For fiscal year 1999/2000, the goals of the M/WBE program include:

Formalizing the M/WBE initiative for all major construction projects at Duke University

- Publishing and distributing the Duke M/WBE newsletter on a quarterly basis
- Conducting on-going supplier diversity workshops for Duke employees actively involved in making key purchasing decisions
- Creating and validating a reporting process to provide up-to-date information on purchasing volume with M/WBE vendors
- Assisting all minority or women owned businesses associated with Duke University to obtain federal M/WBE certification
- Attaining greater visibility in the University community
- Strengthening our second-tier purchasing initiative
- Establishing electronic media access for M/WBE vendor information through the Duke University and Office of Procurement Services web sites

Duke University Libraries



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